

Form PTO-1393 (Modified)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

## TRANSMITTAL LETTER TO THE UNITED STATES

T3006-906838

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

CONCERNING A FILING UNDER 35 U.S.C. 371

09/786,114

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/FR00/01815

28 June 2000

01 July 1999

TITLE OF INVENTION

METHOD FOR VERIFYING CODE TRANSFORMERS FOR AN EMBEDDED SYSTEM, IN PARTICULAR IN A CHIP CARD

APPLICANT(S) FOR DO/EO/US

Christian GOIRE, Thomas JENSEN, Pascal FRADET, Daniel LE METAYER and Ewen DENNEY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☐ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Response to Notification of a Defective Response (Defective Oath or Declaration), copy of Demande - First Page of Published International Application, copy of Declaration originally filed, and copy of Notification of Defective Response mailed 21 June 2001 (PCT/DO/EO/916) *keys of PTO Receipt Cards*

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492 (a)) <b>09/786,114</b>	INTERNATIONAL APPLICATION NO. <b>PCT/FR00/01815</b>	ATTORNEY'S DOCKET NUMBER <b>T3006-906838</b>
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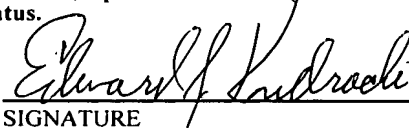
24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1000.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>	
				<b>\$0.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total claims	- 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	- 3 =	0	x \$80.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$0.00</b>	
<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$0.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$0.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$0.00</b>	
				<b>Amount to be: refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **50-1165**. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

<b>Edward J. Kondracki</b> <b>MILES &amp; STOCKBRIDGE P.C.</b> Suite 500 1751 Pinnacle Drive McLean, VA 22102-3833
--

 SIGNATURE
<b>Edward J. Kondracki</b> NAME
<b>20,604</b> REGISTRATION NUMBER
<b>July 5, 2001</b> DATE

PTO/PCT Rec'd 05 JUL 2001

T3006-906838

**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (D.O./E.O./US)**

Applicants: Christian GOIRE ET AL.

International  
Application No.: PCT/FR00/01815

International  
Filing Date: 28 June 2000

U.S. Serial No.: 09/786,114

U.S. Filing Date: March 1, 2001

For: **METHOD FOR VERIFYING CODE TRANSFORMERS  
FOR AN EMBEDDED SYSTEM, IN PARTICULAR  
IN A CHIP CARD**

McLean, Virginia

**RESPONSE TO  
NOTIFICATION OF A DEFECTIVE RESPONSE  
(NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION)**

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Attention: Paulette Kidwell, Paralegal

Sir:

Receipt is acknowledged of the enclosed NOTIFICATION OF A DEFECTIVE  
OATH OR DECLARATION dated June 21, 2001, in the above-identified application.

The reason stated for the Defective Oath or Declaration is that the Oath is "not  
executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68" because "Ewen  
Denney is not listed on Published Page." A copy of the "Demande Internationale

T3006-906838

Publiee ..." is enclosed. Please note that the inventor Ewen DENNEY is properly listed among the inventors on the second page of the published international application PCT/FR00/01815.

In view thereof, it is respectfully requested that the Declaration filed on June 8, 2001, in response to the Notification of Missing Requirements mailed April 16, 2001, be accepted. For convenience, a copy of the Declaration as filed is enclosed herewith.

Early action on the merits is earnestly solicited.

Respectfully submitted,

MILES & STOCKBRIDGE P.C.

Date: 7/5/01

By: Edward J. Kondracki

Edward J. Kondracki

Registration No. 20,604

1751 Pinnacle Drive – Suite 500  
McLean, VA 22102-3833  
Tel.: 703/903-9000  
Fax: 703/610-8686



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/786114	GOIRE	C T3006-906838
INTERNATIONAL APPLICATION NO.		

EDWARD J KONDRACKI  
MILES & STOCKBRIDGE  
1751 PINNACLE DRIVE  
SUITE 500  
MCLEAN, VA 22102 3833

RECEIVED

JUN 22 2001

PCT/FR00/01815

I.A. FILING DATE	PRIORITY DATE
28 JUN 00	01 JUL 99

DATE MAILED:

21 JUN 2001

NOTICE OF DEFECTIVE RESPONSE  
MILES & STOCKBRIDGE P.C.  
TYSON CORNER

1. ☐ The request for an extension of time (37 CFR 1.136(a)) filed \_\_\_\_\_ is defective because the required fee is missing/insufficient. Extension of time fees are listed at 37 CFR 1.17(a)(1)-(a)(5).
2. ☐ Applicant's response filed \_\_\_\_\_ was received in the Office after the expiration of the period for response set in the Office notification mailed \_\_\_\_\_. This application will become abandoned unless applicant obtains an extension of time to reply to the last Office notification under 37 CFR 1.136(a).
3. ☒ Applicant's response filed \_\_\_\_\_ is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS (Form PCT/DO/EO/905) mailed 08 JUNE 2001 have not been completed.

- ☐ Translation of the international application into English.  
☐ which is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ Processing fee (37 CFR 1.492(f)).
- ☒ Oath or Declaration of inventors(s).  
☒ not in compliance with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ Surcharge (37 CFR 1.492(e)).
- ☐ Sequence Listing.  
☐ not in compliance with 37 CFR 1.821-1.825 for the reasons indicated on the attached PCT/DO/EO/920.
- ☐ Additional claim fees.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements (Form DO/EO/905), whichever is the longer. No extension of this time limit may be granted under 37 C.F.R. § 1.136, but the period for response set in the Notification of Missing Requirements (Form DO/EO/905) may be extended under 37 C.F.R. § 1.136(a).

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PCT/DO/EO/920

Paulette Kidwell, Paralegal

Telephone: 703-305-3656

FORM PCT/DO/EO/916 (March 2001)

DOCKETED  
BY SA ON 6-26-01  
BY SA ON 6-27-01  
DUE DATE 7-21-01  
CALL UP \_\_\_\_\_

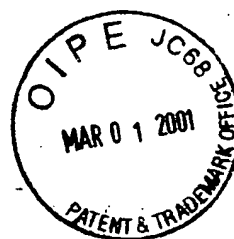
BOX - NEW APPLICATION - FEE

IN THE DO/EO/US

Inventors: Christian GOIRE ET AL. Ser. No. To be assigned Docket: T3006-906838  
Title: **Method for Verifying Code Transformers for an Embedded System, in Particular in a Chip Card**

This will acknowledge receipt in Patent Office re filing of the following:

1. Transmittal Letter to DO/EO/US (2 copies)
2. Correspondence Address and Notice of Filing Without a Declaration
3. New Patent Application (18 pages - 5 claims/11 claims-after amendment) with Verification of Translation
4. Drawings - 2 Sheets - Formal
5. Preliminary Amendment
6. PCT documents: First page of Int'l Appln, PCT/IB/301 & 308; PCT/RO/101;
7. Information Disclosure Statement
8. Proposed Drawing Corrections
9. Early Notification of Serial No. Receipt Card
10. Check # 6607 in the amount of \$ 990.00 to cover filing fees.



DATE DUE March 1, 2001

DATE FILED: March 1, 2001

INITIALS: EJK:ah

(IN DO/EO/US)

Inventor: Christian GOIRE ET AL. Ser. No. 09/786,114 Docket: T3006-906838

Title: "METHOD FOR VERIFYING CODE TRANSFORMERS FOR AN EMBEDDED SYSTEM, IN PARTICULAR IN A CHIP CARD"

This will acknowledge receipt in Patent Office re filing of the following:

1. Transmittal Letter to DO/EO/US (Second Submission)
2. Copy of NOTIFICATION OF MISSING REQUIREMENTS
3. Declaration and Power of Attorney (French Language Declaration)
4. Supplemental Information Disclosure Statement, w/cys of cited references
5. Assignment & PTO coversheet
6. Check # 62965 For \$120 to cover assignment recordal (3 assignment transactions)

DATE DUE 6/16/2001-

DATE FILED: 6/8/2001

INITIALS: EJK:ah

